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SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM SEC

Part I Initial Listing Report Mail Processing
Section

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
NASDAQ OMX PHLX LLC (traded pursuant to unlisted trading privileges) NOV 03 2016
2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.)
Open End Management Investment Company Washington DC 412
3. Class of New Derivative Securities Product:
Exchange Traded Fund
4. Name of Underlying Instrument:
Actively managed portfolio of securities
5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Not Applicable
6. Ticker Symbol(s) of New Derivative Securities Product:
UTES
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: NASDAQ Stock Market LLC, NYSE Arca
8. Position Limits of New Derivative Securities Product (if applicable):
Regular way trades settle on T + 3 (cash settled)
9. Position Limits of New Derivative Securities Product (if applicable):
N/A



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Part II Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:
Colleen SteeleTitle:
Assistant Corporate SecretaryTelephone Number:
301-978-8736

Manual Signature of Official Responsible for Form:

Date: **October 31, 2016**

SEC 2449 (6-01)

Act Securities Exchange Act of 1934

Section 19b-4

Rule 19b-4(e)

Public
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